# UTILITY PATENT APPLICATION TRANSMITTAL
## (Small Entity)

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

| Docket No. |
|---|
| **8420.04DIV** |
| Total Pages in this Submission |
| |

31355 U.S. PTO
10/757043
01/14/04

**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

| For | #Filed | #Allowed | #Extra | | Rate | Fee |
|---|---|---|---|---|---|---|
| **Total Claims** | 1 | - 20 = | 0 | x | $9.00 | $0.00 |
| **Indep. Claims** | 1 | - 3 = | 0 | x | $42.00 | $0.00 |
| **Multiple Dependent Claims (check if applicable)** ☐ | | | | | | $0.00 |
| | | | | | **BASIC FEE** | $370.00 |
| **OTHER FEE** *(specify purpose)* _____ | | | | | | $0.00 |
| | | | | | **TOTAL FILING FEE** | $370.00 |

☐ A check in the amount of to cover the filing fee is enclosed.

☒ The Director is hereby authorized to charge and credit Deposit Account No. **50-1600** as described below.

- ☒ Charge the amount of **$370.00** as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: **January 14, 2004**

*Signature*

**Kenton R. Mullins**
**Stout, Uxa, Buyan & Mullins, LLP**
**4 Venture, Suite 300**
**Irvine, CA 92618**

cc:

Express Mail Label No.

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## (Small Entity)

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.
**8420.04DIV**

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**TO THE COMMISSIONER FOR PATENTS**
**Mail Stop Patent Application**
**P.O. Box 1450**
**Alexandria, VA 22313-1450**

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**MODEL-FREE ADAPTIVE CONTROL OF QUALITY VARIABLES**

and invented by:

**GEORGE SHU-XING CHANG**

**If a CONTINUATION APPLICATION,** *check appropriate box and supply the requisite information:*

☐ **Continuation** ☒ **Divisional** ☐ **Continuation-in-part (CIP)** of prior application No.: **09/832,688**

Which is a:

☐ **Continuation** ☐ **Divisional** ☐ **Continuation-in-part (CIP)** of prior application No.: _____

Which is a:

☐ **Continuation** ☐ **Divisional** ☐ **Continuation-in-part (CIP)** of prior application No.: _____

Enclosed are:

**Application Elements**

1. ☐ Filing fee as calculated and transmitted as described below
2. ☒ Specification having **24** pages and including the following:
   - a. ☒ Descriptive Title of the Invention
   - b. ☐ Cross References to Related Applications *(if applicable)*
   - c. ☐ Statement Regarding Federally-sponsored Research/Development *(if applicable)*
   - d. ☐ Reference to Sequence Listing, a Table, or a Computer Program Listing Appendix
   - e. ☒ Background of the Invention
   - f. ☒ Brief Summary of the Invention
   - g. ☒ Brief Description of the Drawings *(if filed)*
   - h. ☒ Detailed Description
   - i. ☒ Claim(s) as Classified Below
   - j. ☒ Abstract of the Disclosure

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**Application Elements (C ntinued)**

3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*
   a. ☒ Formal Number of Sheets 4
   b. ☐ Informal Number of Sheets
4. ☒ Oath or Declaration
   a. ☐ Newly executed *(original or copy)* ☐ Unexecuted
   b. ☒ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*
   c. ☒ With Power of Attorney ☐ Without Power of Attorney
   d. ☐ *DELETION OF INVENTOR(S)*
   Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference *(usable if Box 4b is checked)*
   The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ CD ROM or CD-R in duplicate, large table or Computer Program (Appendix)
7. ☐ Application Data Sheet (See 37 CFR 1.76)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all must be included)*
   a. ☐ Computer Readable Form (CFR)
   b. ☐ Specification Sequence Listing on:
      i. ☐ CD-ROM or CD-R (2 copies); or
      ii. ☐ Paper
   c. ☐ Statement(s) Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☒ Certificate of Mailing
    ☐ First Class ☒ Express Mail *(Specify Label No.):* EL984828337US

| UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity) *(Only for new nonprovisional applications under 37 CFR 1.53(b))* | Docket No. 8420.04DIV |
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**Accompanying Application Parts (Continued)**

17. ☒ Applicant claims small entity status. See 37 CFR 1.27.

    ☐ (Optional) Small Entity Statement(s) - Specify Number of Statements Submitted: _____

18. ☐ Additional Enclosures *(please identify below):*

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

19. ☒ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

***Warning***

***An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.***

Docket: 8420.04DIV

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

| | |
|---|---|
| In re Application of: George Shu-Xing Chang | |
| U.S. Serial No: unknown | Group Art Unit: unknown |
| Filed: herewith | Examiner: unknown |
| For: MODEL-FREE ADAPTIVE CONTROL OF QUALITY VARIABLES | |

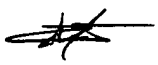
EXPRESS MAIL MAILING LABEL NO. EL984828337US

Date of Deposit: **January 14, 2004**
I hereby certify that the following documents as identified below are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under CFR 1.10 on the date indicated above and are addressed to: Box: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450-:

1. Return Receipt postcard.
2. Transmittal letter
3. Preliminary Amendment
4. Specification/Claims/Abstract 24 pages;
5. 4 sheets of formal drawings;
6. Copy of Combined Declaration and Power of Attorney;
7. Associate Power of Attorney.

Each of the 7 above-identified documents are enclosed herewith.

Respectfully submitted,



Kenton R. Mullins
Registration No. 36,331

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Irvine, CA 92618
*Telephone* 949/450-1750
*Facsimile* 949/450-1764